

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE
(REV. 2-2005)TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

133-05

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/534341

INTERNATIONAL APPLICATION NO.
PCT/DE2002/004175INTERNATIONAL FILING DATE
11/11/2002PRIORITY DATE CLAIMED
11/11/2002

TITLE OF INVENTION

SUPPORT ELEMENT FOR MOUNTING OPTICAL ELEMENTS
AND METHOD OF PRODUCING SUCH A SUPPORT ELEMENT

APPLICANT(S) FOR DO/EO/US

Martin Popp, Ingo Smaglinski, Jens Haase and Gerhard Himmelsbach

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☒ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV 281505695 US
23. ☐ Other items or information:

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO (if known, see 37 CFR 1.5) 10/534341		INTERNATIONAL APPLICATION NO. PCT/DE2002/004175		ATTORNEY'S DOCKET NUMBER 133-05	
The following fees are submitted:				CALCULATIONS	PTO USE
24. <input checked="" type="checkbox"/> Basic national fee		\$300		\$ \$300.00	
25. <input checked="" type="checkbox"/> Examination fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4)		\$100		\$ \$300.00	
All other situations.		\$200			
26. <input checked="" type="checkbox"/> Search fee		\$100			
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority		\$400			
International Search Report prepared and provided to the Office		\$500		\$ \$400.00	
All other situations.		\$500			
TOTAL OF 24, 25 and 26 =				\$ \$1,000.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE		
54 - 100 =	0 /50 =	0	x \$250.00	\$ \$0.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	60 - 20 =	40	x \$50.00	\$ \$2,000.00	
Independent claims	2 - 3 =	0	x \$200.00	\$ \$0.00	
MULTIPLE DEPENDENT CLAIMS (if applicable) <input checked="" type="checkbox"/> +				\$ \$360.00	
TOTAL OF ABOVE CALCULATIONS =				\$ \$3,360.00	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$ \$1,680.00	
SUBTOTAL =				\$ \$1,680.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ \$0.00	
TOTAL NATIONAL FEE =				\$ \$1,680.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$ \$40.00	
TOTAL FEES ENCLOSED =				\$ \$1,720.00	
				Amount to be	\$
				Amount to be	\$
<p>a. <input checked="" type="checkbox"/> A check in the amount of \$ \$1,720.00 to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 16-0750. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p>					
<p>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.</p>					
SEND ALL CORRESPONDENCE TO:					
John F. McNulty, Esquire Paul & Paul 2900 Two Thousand Market Street Philadelphia, PA 19103 USA (215) 568-4900					
				SIGNATURE	
				John F. McNulty, Esquire	
				NAME	
				23,028	
				REGISTRATION NUMBER	

PATENT

PCT INTERNATIONAL APPLICATION

Serial No.: NA
Filed: Herewith
Based on: PCT/DE2002/004175
Title: **SUPPORT ELEMENT FOR
MOUNTING OPTICAL
ELEMENTS AND METHOD OF
PRODUCING SUCH A SUPPORT
ELEMENT**

Inventor(s): Martin Popp, et al.

Priority Date
Claimed: November 11, 2002

Docket No.: 133-05

"EXPRESS MAIL" MAILING LABEL NO:
EV 281505695 US
DATE OF DEPOSIT May 9, 2005
I HEREBY CERTIFY THAT THIS PAPER IS BEING
DEPOSITED WITH THE UNITED STATES POST
OFFICE "EXPRESS MAIL POST OFFICE TO
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THE DATE INDICATED ABOVE AND IS ADDRESSED
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NAME OF PERSON MAILING PAPER OR FEE
Robert DeShields
SIGNATURE:

EXPRESS MAIL COVER LETTER

Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

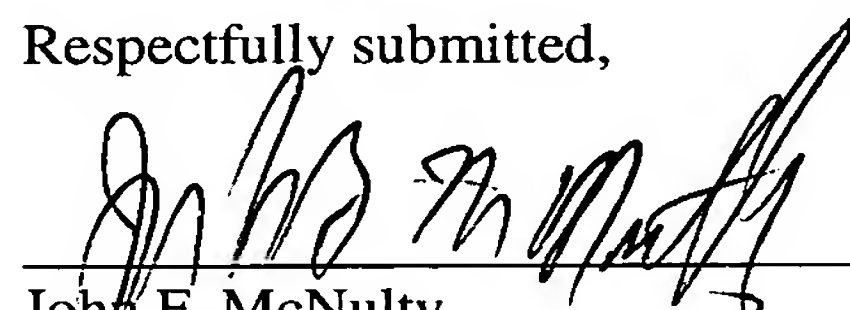
Enclosed and attached hereto are the following documents:

- (1) International Application Transmittal form;
- (2) Check in the amount of \$1,720.00 application filing fee (small entity);
- (3) Specification (17 pages);
- (4) Claims (4 pages);
- (5) Formal Drawings (33 pages);
- (6) Preliminary Amendment (6 pages);

- (7) Declaration Power of Attorney Document 3 pages (executed);
- (8) Assignment with PTO form 1595;
- (9) Check in the amount \$40.00 recordation fee;
- (10) PCT Request (6) Pages;
- (11) International Publication Document No. WO 2004/044633 A1 (German Language);
- (12) International Search Report;
- (13) International Preliminary Examination Report;
- (14) Express Mail cover letter, and
- (15) Paul & Paul postcard to be returned by the PTO.

THE COMMISSIONER IS HEREBY AUTHORIZED TO CHARGE ANY ADDITIONAL FEES ASSOCIATED WITH THIS COMMUNICATION, OR CREDIT ANY OVERPAYMENT, TO PAUL & PAUL DEPOSIT ACCOUNT NO. 16-0750, ORDER NO. 3143.

Respectfully submitted,


John F. McNulty
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